

Appendix 1: POST AWARD GRANT MANAGEMENT PROCEDURES

1. FISCAL PROCEDURES

All funds under this program must be assigned to a specific account. If an institution receives more than one grant award, separate accounts must be established for each. For this grant cycle, grant awards will be disbursed in two payments. The first payment will be 50% of the total grant award. The second payment will be the remaining 50% of the total grant award. This second payment will be made after the project's interim report has been approved. Expenditures in excess of approved budget amounts will be the responsibility of the recipient institution.

2. POST-AWARD CHANGES

The grant recipient shall obtain prior written approval for any change to the scope of the approved project. To request changes, request a project amendment from MHEC's Office of Outreach and Grants Management. The request must include an explanation of the specific programmatic changes and/or a revised budget, as applicable. If project activity dates have changed significantly since the application submission, you must submit a revised calendar of activity dates.

The grant recipient must also obtain prior written approval from MHEC's Office of Outreach and Grants Management to:

1. continue the project during any continuous period of more than three (3) months without the active direction of an approved project director;
2. replace the project director (or any other persons named and expressly identified as a key project person in the application) or to permit any such person to devote substantially less effort to the project than was anticipated when the grant was awarded;
3. make changes resulting in additions or deletions of staff and consultants related to or resulting in a need for budget reallocation; and
4. make budget changes exceeding \$1,000 or 10% in any category, whichever is greater.

3. PROJECT CLOSEOUT, SUSPENSION, TERMINATION

Closeout: Each grant shall be closed out as promptly as feasible after expiration or termination. In closing out the grant, the following shall be observed:

- The grant recipient shall immediately refund, in accordance with instructions from MHEC, any unobligated balance of cash advanced to the grant recipient.
- The grant recipient shall submit all financial, performance, evaluation, and other reports required by the terms of the grant in accordance with the due dates spelled out in this RFP.
- The closeout of a grant does not affect the retention period for State and/or grantor rights of access to grant records.

Suspension: When a grant recipient has materially failed to comply with the terms of a grant, MHEC may, upon reasonable notice to the grant recipient, suspend the grant in whole or in part. The notice of suspension will state the reasons for the suspension, any corrective action required of the grant recipient, and the effective date. Suspensions shall remain in effect until the grant recipient has taken action

satisfactory to MHEC or given evidence satisfactory to MHEC that such corrective action will be taken or until MHEC terminates the grant.

Termination: MHEC may terminate any grant in whole or in part at any time before the date of expiration, whenever MHEC determines that the grant recipient has materially failed to comply with the terms of the grant. MHEC shall promptly notify the grant recipient in writing of the termination and the reasons for the termination, together with the effective date.

The grant recipient may terminate the grant in whole or in part upon written notification to MHEC, setting forth the reasons for such termination, the effective date, and, in the case of partial terminations, the portion to be terminated. However, if in the case of a partial termination, MHEC determines that the remaining portion of the grant will not accomplish the purposes for which the grant was made, MHEC may terminate the grant in its entirety.

Closeout of a grant does not affect the right of MHEC to disallow costs and recover funds on the basis of a later audit or review, nor does closeout affect the grantee's obligation to return any funds due as a result of later refunds, corrections, or other transactions.

4. RECORDS

A grant recipient shall retain the following records for a period of five (5) years after the completion of the grant project:

- records of significant project experience and evaluation results;
- records that fully show amount of funds under the grant, how the funds were used, total cost of projects, all costs and contributions provided from other sources, and other records to facilitate an effective audit.

5. REPORTING REQUIREMENTS

To ensure accountability and sound fiscal management, MHEC's Office of Outreach and Grants Management serves as the State monitor of grant activities. In addition to requiring interim and final reports, MHEC staff may conduct site visits, undertake telephone interviews, or request written materials for this purpose.

6. INTERIM REPORTS

Forms for the interim report will be provided at <http://www.mhec.state.md.us/Grants/index.asp> at least one month prior to the report due date. Interim reports will include project narrative, data, and budget sections that include but are not limited to:

- Responses to questions posed on the interim report form (e.g., progress to date, whether project on track with original timeline, challenges encountered).
- Evidence that the project is progressing sufficiently to continue.
- Project data including the number of potential reverse transfer students contacted, the number of transcripts exchanged and/or evaluated, and the number of associate's degrees conferred.
- Budget report showing how much of the grant has been spent and how much remains in each line item of the original accepted budget application. Grantees should keep records indicating how funds are expended, the total cost of project activities, the share of the cost provided from other sources (in-kind or otherwise), and any other relevant records to facilitate an effective audit. Such records should

be held for five (5) years after the grant ends. Any unspent grant funds must be returned with the final fiscal report.

7. FINAL REPORTS

Forms for the final report will be provided at <http://www.mhec.state.md.us/Grants/index.asp> at least one month prior to the report due date. Final reports will include project narrative, data, and budget sections that include but are not limited to:

- Responses to questions posed on the final report form (e.g., accomplishments, project goals and benchmarks met, challenges encountered).
- Institutional plans for project sustainability.
- Project data including the number of potential reverse transfer students contacted, the number of transcripts exchanged and/or evaluated, and the number of associate's degrees conferred.
- Budget report showing how much of the grant was spent and any remaining funds in each line item of the original accepted budget application. Grantees should keep records indicating how funds are expended, the total cost of project activities, the share of the cost provided from other sources (in-kind or otherwise), and any other relevant records to facilitate an effective audit. Such records should be held for five (5) years after the grant ends. Any unspent grant funds must be returned with the final fiscal report.

Final reports must be submitted by the stated deadline. Failure to submit a final report may make the project director and/or institution ineligible to apply for future grants from the State of Maryland.

8. ACKNOWLEDGMENT OF SUPPORT AND DISCLAIMER

This sub-award is from a *Credit When It's Due* grant to MHEC from the Lumina Foundation for Education, supported by USA Funds. An acknowledgement of USA Funds must appear in any publication of materials based on or developed under this project.

MHEC has the exclusive right to select sub-grantees and subcontractors for the project. Neither *Credit When It's Due* nor the Lumina Foundation (USA Funds) has earmarked the use of the grant funds for any specific sub-grantee or subcontractor. MHEC is responsible for ensuring that all sub-grantees and subcontractors use grant funds consistent with the Grantor's Letter of Agreement and the proposal approved by USA Funds. Neither MHEC nor its sub-grantees or subcontractors may make any statement or otherwise imply to donors, investors, media, or the general public that the Foundation directly funds the activities of any sub-grantee or subcontractor.

Any agreements made between MHEC and sub-grantees and subcontractors must include the following language:

"Your organization has been selected to participate in this Project at our discretion. You may not make any statement or otherwise imply to donors, investors, media, or the general public that you are a direct grantee of the USA Funds ("Foundation"). You may state that MHEC is the Foundation's grantee and that you are a sub-grantee or subcontractor of MHEC for the Project."

MHEC must appear in any publication of materials based on or developed under this project. Publications other than academic journal publications must also contain the following disclaimer:

“Opinions, findings, and conclusions expressed herein do not necessarily reflect the position or policy of the Maryland Higher Education Commission, and no official endorsement should be inferred.”

All media announcements and public information pertaining to activities funded by this grant program should acknowledge support of MHEC and adhere to the restrictions laid out herein.

At such time as any article resulting from work under this grant is published in a professional journal or publication, two reprints of the publication should be sent to MHEC’s Office of Outreach and Grants Management, clearly labeled with appropriate identifying information.

ASSURANCES

The Applicant hereby affirms and certifies that it will comply with all applicable regulations, policies, guidelines, and requirements of the Maryland Higher Education Commission (MHEC) and the State of Maryland as they relate to the application, acceptance, and use of ADAPTS, Maryland's Statewide Reverse Transfer Program funds in this project. Also, the Applicant affirms and certifies that:

1. It possesses legal authority to apply for the grant; e.g., an official act of the applicant's governing body has been duly adopted or passed, authorizing filing of the application, including all understandings and assurances contained therein and directing and authorizing the person identified as the official representative of the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) prohibiting employment discrimination where discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.
3. It will comply with the provisions of the Americans with Disabilities Act and any and all amendments to the ADA." I also recommend adding a catch-all clause such as "It will comply with all relevant federal and state laws."
4. It will expend funds to supplement new and/or existing programs and not use these funds to supplant non-grant funds or for any purpose other than those specified in this grant.
5. It will participate in any statewide assessment program or other evaluation program as required by the MHEC.
6. It will give the MHEC and/or the Legislative Auditor, through any authorized representative, the right of access to, and the right to examine all records, books, papers, or documents related to the grant. It will maintain all records pertaining to this grant for a period of five years.
7. It will comply with all requirements imposed by the MHEC concerning special requirements of law and other administrative requirements.

Institution: _____

Signature of Authorized Institutional Authority (President or Provost)

Date

Name and Title, Printed